

10/11/01  
F 9695 U.S. PTO

5-14-01

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PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**NEW UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(only for new nonprovisional applications under  
37 CFR 1.53(b))

Attorney Docket Number 20852-05134

First Named Inventor Laurence J. Newell

Title Control channel for an optical  
communications system utilizing  
frequency division multiplexing

Express Mail Label No. EL482717405US

PTO  
S-1101

11002 U.S. PTO  
05/11/01

**APPLICATION ELEMENTS**

1.  Fee Transmittal Form (in duplicate)
2.  Applicant claims small entity status.  
See 37 CFR 1.27
3.  Specification Total Pages 36  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference(s) to Related Case(s)
  - Statement Regarding Fed sponsored R & D
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawing(s)
  - Detailed Description
  - Claim or Claims
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) Total Sheets 17
5. Oath or Declaration
  - a.  New Declaration Total Pages  
 Executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

**ACCOMPANYING APPLICATION PARTS**

7.  Assignment Papers (cover sheet & document(s))
8.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
9.  Power of Attorney or Authorization of Agent
10.  37 CFR 3.73(b) Statement
11.  Preliminary Amendment
12.  Information Disclosure Statement & PTO-1449
  - Copies of IDS Citation(s)
13.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
14.  Return Postcard
15.
16.
17.

**ADDRESS TO:**

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: 09/569,761  
Prior application information: Examiner: Unassigned Group/Art Unit: 2874

Also a  Continuation-in-part (CIP) of prior application No: 09/816,242  
Prior application information: Examiner: Unassigned Group/Art Unit: Unassigned

Which is a  Continuation-in-part (CIP) of prior application No: 09/571,349  
Prior application information: Examiner: Unassigned Group/Art Unit: 2733

For **CONTINUATION OR DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**



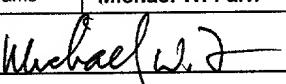
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Name (Print/Type)	Michael W. Farn	Registration No. (Attorney/Agent)	41,015
Signature		Date	May 11, 2001

0002/PTO(modified) Rev. 10/2000		U.S. Department of Commerce Patent and Trademark Office		<b>Complete if Known</b>	
<b>FEE TRANSMITTAL</b>		Application Number		Unassigned	
		Filing Date		May 11, 2001	
		First Named Inventor		Laurence J. Newell	
		Group Art Unit		Unassigned	
		Examiner Name		Unassigned	
				Attorney Docket Number	
<b>TOTAL AMOUNT OF PAYMENT</b>		Subtotal (1) + Subtotal (2) + Subtotal (3) = <b>(\$355)</b>			

<b>METHOD OF PAYMENT</b>		<b>FEES CALCULATION (continued)</b>																																																																																																																																																																																																											
<b>1. The Commissioner is hereby authorized to:</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.</li> <li><input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. <sup>†</sup></li> <li><input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</li> </ul>		<b>3. 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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Typed or Printed Name	Michael W. Farn	Reg. Number	41,015
Signature		Date	May 11, 2001